

**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))Attorney Docket No. 004085.P032

(maximum 12 characters)

First Named Inventor SHOJI SUZUKITitle: MAGNETIC HEAD FOR PROXIMITY RECORDINGExpress Mail Label No. EL470164293USADDRESS TO: **Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, Virginia 22313-1450****APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)
2. ☐ **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. ☒ **Specification (Total Pages 23)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ **Drawings(s) (35 USC 113) (Total Sheets 11)**
5. ☒ **Oath or Declaration (Total Pages 3)**
  - a. ☒ Newly Executed (Original or Copy)
  - b. ☐ Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i. ☐ DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unsigned.
6. ☐ **Application Data Sheet. (37 CFR 1.76)**
7. ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8. ☐ **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

21908 U.S. PTO  
10/623025  
07/18/03

<b>ACCOMPANYING APPLICATION PARTS</b>	
9.	<input checked="" type="checkbox"/> <b>Assignment Papers (cover sheet &amp; documents(s))</b>
10.	a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
	b. Power of Attorney
11.	English Translation Document (if applicable)
12.	a. Information Disclosure Statement (IDS)/PTO-1449
	b. Copies of IDS Citations
13.	<b>Preliminary Amendment</b>
14.	<input checked="" type="checkbox"/> <b>Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</b>
15.	Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.	<input checked="" type="checkbox"/> <b>Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</b>
17A.	<input checked="" type="checkbox"/> Other: Certificate of Express Mail with copy of postcard showing contents of Express Mail package.
17B.	<input checked="" type="checkbox"/> Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.
<b>18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:</b>	
<input type="checkbox"/> Continuation Of Prior Application No.: _____ (which is a ___ continuation/ ___ divisional/ ___ CIP of prior application no. _____) (List entire chain of priority)	<input type="checkbox"/> Divisional Examiner _____ (which is a ___ continuation/ ___ divisional/ ___ CIP of prior application no. _____)
<input type="checkbox"/> Continuation-in-part (CIP) Group Art Unit _____	
<p><b>Applicant(s):</b> Also include a Preliminary Amendment to amend the specification to claim priority. For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>	
<b>19. Correspondence Address</b> Customer Number or Bar Code Label _____ or _____ (Insert Customer No. or Attach Bar Code Label here) <input checked="" type="checkbox"/> Correspondence Address Below NAME Daniel E. Ovanezian BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383	
Name (PRINT/TYPER): Daniel E. Ovanezian Registration No.: 41,236 Signature: [Signature] Date: 7/18/03	

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor Shoji Suzuki  
Title MAGNETIC HEAD FOR PROXIMITY RECORDING

Attorney Docket No. 004085.P032

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

7/18/03  
Date

  
Signature

Daniel E. Ovanezian  
Typed or Printed Name

41,236  
Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

# FEE TRANSMITTAL FOR FY 2003

TOTAL AMOUNT OF PAYMENT (\$)

\$1,300

**Complete if Known:**

Application No. Not yet assigned

Filing Date Herewith

First Named Inventor Shoji Suzuki

Group Art Unit Not yet assigned

Examiner Name Not yet assigned

Attorney Docket No. 004085.P032

**METHOD OF PAYMENT (check one)**

1.    ☒    The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number    02-2666

Deposit Account Name       \_\_\_\_\_

☒    Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐    Applicant claims small entity status. See 37 CFR 1.27

2.      X      Payment Enclosed:      X      Check

\_\_\_\_\_ Money Order

\_\_\_\_\_ Other

**FEE CALCULATION**

1.    BASIC FILING FEE

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee</u>	<u>Code</u>	<u>Fee</u>	<u>Code</u>		
750	1001	375	2001	Utility application filing fee	<u>750.00</u>
330	1002	165	2002	Design application filing fee	_____
520	1003	260	2003	Plant filing fee	_____
750	1004	375	2004	Reissue filing fee	_____
160	1005	80	2005	Provisional application filing fee	_____
SUBTOTAL (1)					<u>\$ 750.00</u>

2.    EXTRA CLAIM FEES

		<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>39</u>	- 20** = <u>19</u>	<u>X</u> <u>18.00</u>	= <u>342</u>
Independent Claims	<u>5</u>	- 3** = <u>2</u>	<u>X</u> <u>84.00</u>	= <u>168</u>
Multiple Dependent			_____	= _____

**\*\*Or number previously paid, if greater; For Reissues, see below.**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>
<u>Fee</u>	<u>Code</u>	<u>Fee</u>	<u>Code</u>	
18	1202	9	2202	Claims in excess of 20
84	1201	42	2201	Independent claims in excess of 3
280	1203	140	2203	Multiple dependent claim, if not paid
84	1204	42	2204	**Reissue independent claims over original patent
18	1205	9	2205	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)    \$ <u>510.00</u>				

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Larg Entity</u>		<u>Small Entity</u>		<u>Fe Description</u>	<u>Fee Paid</u>
<u>Fe</u>	<u>F</u>	<u>Fee</u>	<u>Fe</u>		
<u>Code</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>		
1051	130	2051	65	Surcharge - late filing f or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
1809	750	2809	375	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55	Statutory Disclaimer	
1810	750	2810	375	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,300	1454	1,300	Acceptance of unintentionally delayed claim for priority	
Other fee (specify) _____					
Other fee (specify) _____					
<b>SUBTOTAL (3) \$ 40.00</b>					

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Daniel E. OvanezianSignature: Date: 7/18/03Reg. Number: 41,236Telephone Number: (408) 720-8300

"Express Mail" mailing label number: EL470164293W  
Date of Deposit: 7/18/03

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

JUANITA BRISCOE  
(Typed or printed name of person mailing paper or fee)

Juanita Briscoe  
(Signature of person mailing paper or fee)

7/18/03  
(Date signed)

\*\*\*\*\*

Serial/Patent No. \_\_\_\_\_ Filing/Issue Date: \_\_\_\_\_ Herewith  
Client: KOMAG, INC.  
Title: MAGNETIC HEAD FOR PROXIMITY RECORDING

BSTZ File No.: 004085.P032 Atty/Secy Initials: JHS/DEO/lb  
Date Mailed: 7/18/03 Docket Due Date: \_\_\_\_\_  
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon: Check No. 58971  
☐ Amendment/Response (\_\_\_\_ pgs.) ☐ Express Mail 470164293US Amt: \$1269  
☒ Appeal Brief (\_\_\_\_ pgs.) (in triplicate) ☐ Information Disclosure Statement & PTO-149 (\_\_\_\_ pgs.) ☒ Check No. 58972 Amt: \$40  
☐ Application - Utility (23 pgs., with cover and abstract) ☐ Month(s) Extension of Time 6  
☐ Application - Rule 1.53(b) Continuation (\_\_\_\_ pgs.) ☐ Issue Fee Transmittal  
☐ Application - Rule 1.53(b) Divisional (\_\_\_\_ pgs.) ☐ Notice of Appeal  
☐ Application - Rule 1.53(b) CIP (\_\_\_\_ pgs.) ☐ Petition for Extension of Time  
☐ Application - Rule 1.53(d) CPA Transmittal (\_\_\_\_ pgs.) ☐ Petition for \_\_\_\_\_  
☐ Application - Design (\_\_\_\_ pgs.) ☒ Postcard  
☐ Application - PCT (\_\_\_\_ pgs.) ☐ Power of Attorney (\_\_\_\_ pgs.)  
☐ Application - Provisional (\_\_\_\_ pgs.) ☐ Preliminary Amendment (\_\_\_\_ pgs.)  
☒ Assignment and Cover Sheet ☐ Reply Brief (\_\_\_\_ pgs.)  
☐ Certificate of Mailing ☐ Response to Notice of Missing Parts  
☒ Declaration & POA (3 pgs.) ☐ Small Entity Declaration for Indep. Inventor/Small Business  
☐ Disclosure Docs & Orig. & Copy of Inventor's Signed Letter (\_\_\_\_ pgs.) ☒ Transmittal Letter, in duplicate  
Drawings: 11 # of sheets includes 13 figures ☒ Fee Transmittal, in duplicate

☒ Other: Cited Art (32)  
Request and Certification under 35 USC 122(b)  
(2) (B) (i)